Incident and Serious Incident Reporting Policy

United African Association

Registered Charity CIO 1192725
Unit F5B Barratt House Kingsthorpe Road Northampton NN2 6EZ
www.uaassociation.org

Policy owner	Board of Trustees
Version	1.0
Approval status	Approved by the Chair
Approval date	October 2026
Next review	October 2027
Applies to	Trustees staff volunteers contractors and relevant partners

Purpose

This policy provides one route for recording, escalating and learning from accidents, safeguarding events, data breaches, financial loss, misconduct, near misses and events that may require external notification.

Scope

This policy applies wherever UAA works, including Barratt House, Leicester Street Community Centre, partner venues, the foodbank and food larder, community meals, welcoming spaces, youth activities, football, swimming, wellbeing sessions, allotment work, trips, outreach, home or hospital visits, online sessions, social media and transport arranged by UAA.

Legal and good practice framework

- Charity Commission current serious incident reporting guidance
- RIDDOR 2013
- UK GDPR and Data Protection Act 2018
- Relevant safeguarding duties

Responsibilities

Role	Responsibility
Board of Trustees	Approves the policy, receives assurance, provides resources and remains accountable.
Chief Executive or delegated manager	Implements the policy, allocates competent leads and escalates significant matters.
Policy lead	Maintains procedures, records, training and contact details and reports themes to trustees.
Staff volunteers and contractors	Follow the policy, attend required training and report concerns promptly.

What must be reported

- Injury, illness, violence, threats, safeguarding concerns or missing persons
- Data loss, confidentiality breach or cyber incident
- Fraud, theft, financial loss, misuse of restricted funds or significant control failure
- Fire, property damage, service disruption or serious near miss
- Police involvement, significant complaint, reputational risk or an event that may materially harm UAA or its beneficiaries

Immediate action

1. Protect life and call 999 when necessary.
2. Stop or isolate the hazard without placing yourself at risk.
3. Notify the activity lead and the relevant safeguarding, health and safety, data or finance lead immediately.
4. Preserve evidence and record facts within 24 hours.

5. Do not make public statements or admit liability without authority.

Serious incident decision

The trustees remain responsible for deciding whether to report a serious incident to the Charity Commission. The decision and reasons are recorded even where no report is made. Notification to police, social care, HSE, ICO, insurer, funder or another regulator is considered separately and made within the applicable timescale.

Investigation and learning

A person with appropriate independence reviews causes, immediate controls, whether anyone needs support, required notifications and corrective actions. Actions have named owners and due dates. Themes are reported to trustees without unnecessary personal detail.

Media and communications

Only an authorised spokesperson communicates externally. UAA gives accurate information, protects confidentiality and does not prejudice safeguarding, employment, police or regulatory processes.

Records and confidentiality

UAA will keep proportionate, accurate and secure records. Access is limited to people who need the information for their role. Records are retained and disposed of in line with the Data Protection and GDPR Policy and any legal, insurance or funding requirement.

Training and communication

The policy lead will include this policy in induction and arrange refresher or role-specific training where the level of risk requires it. Current procedures and reporting routes will be accessible to staff and volunteers.

Monitoring and review

The policy lead will monitor incidents, complaints, near misses, audit findings and feedback. The Board will review this policy at least annually and sooner after a serious incident, material legal or operational change, significant complaint or identified control failure.

Related UAA policies

- Health and Safety Policy
- Child Safeguarding Policy
- Adult Safeguarding Policy
- Data Protection and GDPR Policy
- Financial Controls Policy
- Whistleblowing Policy

Approval

Approved by the Chair



Raymond
Chair of UAA
Approval date: October 2026
Next review date: October 2027